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TRANSMITTAL FORM  (to be used for all correspondence after initial le	Application Number  Filing Date  First Named Inventor  Art Unit	09/749,287  December 26, 2000  Gene R. Anderson  2839			
Total Number of Pages in This Submission	Examiner Name Attorney Docket Number	Chandrika, Prasad 1613370-0013			
	ENCLOSURES (Check all the	at apply)			
Fee Transmittal Form  Fee Attached  Amendment/Reply  After Final  Affidavits/declaration(s)  Extension of Time Request  Express Abandonment Request  Information Disclosure Statement  Certified Copy of Priority Document(s)  Response to Missing Parts/ Incomplete Application  Response to Missing Parts  under 37 CFR 1.52 or 1.53	Drawing(s)  Licensing-related Papers  Petition  Petition to Convert to a Provisional Application Power of Attorney, Revocation Change of Correspondence Add Terminal Disclaimer  Request for Refund  CD, Number of CD(s)  Remarks	After Allowance communication to Technology Center (TC)  Appeal Communication to Board of Appeals and Interferences Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)  Proprietary Information  Status Letter Other Enclosure(s) (please Identify below): Copies of 5 Prior Art References PTO Forms SB08A / 08B Return Postcard  OGY CENTER 2800			
SIGNA	TURE OF APPLICANT, ATTORI	NEY, OR AGENT			
Firm or Individual name Signature  Date  James M. Wu, Reg. No. 4 White & Case U.P  Undividual name  School of the control of t	5,241				
CERTIFICATE OF TRANSMISSION/MAILING VIA EXPRESS MAIL  I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first elass-mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.  Typed or printed name  Christina Ishihara					
Signature Shift	fah	Date October 27, 2003			

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PTO/SB/17 (10-03)

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the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Complete if Known **FEE TRANSMITTAL** 09/749.287 Application Number Filing Date December 26, 2000 for FY 2004 Gene R. Anderson First Named Inventor Effective 10/01/2003. Patent fees are subject to annual revision. Chandrika, Prasad **Examiner Name** Applicant claims small entity status. See 37 CFR 1.27 2839 Art Unit (\$) 180.00 **TOTAL AMOUNT OF PAYMENT** 1613370-0013 Attorney Docket No. METHOD OF PAYMENT (check all that apply) FEE CALCULATION (continued) 3. ADDITIONAL FEES Money Check Credit card Other None Large Entity | Small Entity ✓ Deposit Account: Fee Fee Fee **Fee Description** Deposit Code Code Fee Paid (\$) (\$) 23-1703 Account 2051 65 Surcharge - late filing fee or oath 1051 130 Number Deposit Surcharge - late provisional filing fee or 1052 50 2052 25 White & Case LLP Account cover sheet Name 130 Non-English specification 130 1053 1053 The Director is authorized to: (check all that apply) 1812 2,520 For filing a request for ex parte reexamination 1812 2,520 ✓ Credit any overpayments Charge fee(s) indicated below 920\* Requesting publication of SIR prior to 920 1804 Charge any additional fee(s) or any underpayment of fee(s) Examiner action Charge fee(s) indicated below, except for the filing fee Requesting publication of SIR after 1805 1,840 1805 1,840\* Examiner action to the above-identified deposit account 55 Extension for reply within first month 1251 110 2251 **FEE CALCULATION** 210 Extension for reply within second month 1252 420 2252 1. BASIC FILING FEE 2253 1253 950 475 Extension for reply within third month \_arge Entity Small Entity Fee Paid Fee Description 2254 1254 1,480 740 Extension for reply within fourth month Code (\$) 1,005 Extension for reply within fifth month 1255 2.010 2255 1001 770 2001 385 Utility filing fee 1401 330 2401 165 Notice of Appeal 2002 170 Design filing fee 1002 340 330 2402 165 Filing a brief in support of an appeal 1402 2003 265 1003 530 Plant filing fee 1403 290 2403 145 Request for oral hearing 2004 385 Reissue filing fee 1004 770 1451 1,510 1451 1,510 Petition to institute a public use proceeding 1005 160 2005 80 Provisional filing fee 1452 110 2452 55 Petition to revive - unavoidable SUBTOTAL (1) 2453 1453 1.330 665 Petition to revive - unintentional 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE 1501 1,330 665 Utility issue fee (or reissue)

	E	xtra Claims below Fee Paid	1502	480	2502	240 Design issue fee	
Total Claims	-20**	= <b></b> × <b></b> = <b></b>	1503	640	2503	320 Plant issue fee	
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Large Entity			1806	180	1806	180 Submission of Information Disclosure Stmt	180.00
Fee Fee Code (\$)	Fee Fee Code (\$)	Fee Description	8021	40	8021	40 Recording each patent assignment per property (times number of properties)	
1202 18	2202 9	Claims in excess of 20	1809	770	2809	385 Filing a submission after final rejection	
1201 86	2201 43	Independent claims in excess of 3				(37 ČFR 1.129(a))	
1203 290	2203 145	Multiple dependent claim, if not paid	1810	770	2810	385 For each additional invention to be	
1204 86	2204 43	** Reissue independent claims				examined (37 CFR 1.129(b))	
		over original patent	1801	770	2801	385 Request for Continued Examination (RCE)	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	1802	900	1802	900 Request for expedited examination of a design application	
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SUBTOTAL (2) (\$) *Reduced by Basic Filing Fee Paid SUBTO						ing Fee Paid SURTOTAL (3) (\$) 180 (	ກ

(Complete (if applicable)) SUBMITTED BY Registration No. Telephone 650.213.0302 45,241 Name (Print/Type) James M October 27, 2003 Date Signature

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SUBTOTAL (3)

(\$) 180.00

\*\*or number previously paid, if greater, For Reissues, see above



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Gene R. Anderson, et al.

Serial No.: 09/749,287 Group Art Unit: 2839

Filed: December 26, 2000 Examiner: Chandrika, Prasad

For: Process for Coupling Optical Elements

To Optoelectronic Devices

White & Case Docket No.: 16133

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I hereby certify that this paper is being deposited with the United States Postal Service as Express Mail No. EL612596502US in an envelope addressed to: Mail Stop I.D.S. / Group Arg Unit 2839 Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on October 27, 203

Christina Ishihara

Name . /

October 27, 2003

Date

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Sir:

In accordance with the duty of disclosure imposed by 37 C.F.R. § 1.56 to inform the Patent Office of all references coming to the attention of Applicants or attorneys or agents for Applicants which are or may be material to the examination of the subject application, Attorneys for Applicants hereby invite the Examiner's attention to the reference(s) listed on the accompanying PTO Form SB/08A and SB/08B.

Identification of references listed on the attached PTO form is not to be construed as an admission of Applicants or attorneys for Applicants that such references are material or available as prior art against the subject application. The right is reserved to antedate any item in accordance with standard procedure.

This submission is understood to complement the results of the Examiner's own independent search. The submission should not be construed as a representation that a search was made, or that the cited items are inclusive of all the relevant and material citations

Copies of the cited references are enclosed. Applicants respectfully request that the Examiner review the attached references and that they be made of record in the file history of the above-captioned application.

In connection with the filing fee of this Information Disclosure Statement,

Commissioner is hereby authorized to charge White & Case LLP Deposit Account No. 23
1703.

Dated: October 27, 2003

that may be available publicly.

argies.M. Wt. (Reg. No. 45,241)

White & Case LLP

1155 Avehue of the Americas New York, NY 10036-2787

(650) 213-0302

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Substitute	9101101111 1443/110			Application Number	09/749,287
INFO	RMATION	DIS	CLOSURE	Filing Date	December 26, 2000
STATEMENT BY APPLICANT			PPLICANT	First Named Inventor	Gene R. Anderson
	(llea se many cha	nte ac n	ococcani)	Art Unit	2389
(Use as many sheets as necessary)		Examiner Name	Chandrika, Prasad		
Sheet	2	of	2	Attorney Docket Number	1613370-0013

		NON PATENT LITERATURE DOCUMENTS	_
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, senal, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		CHEONG, J-M et al.; High Alignment Tolerance Coupling Scheme for Multichannel Laser Diode/Singlemode Fibre Modules Using a Tapered Waveguide Array; Electronics Letters; IEE Stevenage; GB; Vol. 30; No. 18; September 1, 1994; pgs. 1515-1516	
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Examiner		Date	
Signature		Considered	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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of 2

Complete if Known				
Application Number	09/749,287			
Filing Date	December 26, 2000			
First Named Inventor	Gene R. Anderson			
Art Unit	2839			
Examiner Name	Chandrika, Prasad			
Attorney Docket Number	1613370-0013			

Examiner Cite No.1	Cite	Cite		Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant
		Number-Kind Code <sup>2 (# known)</sup>			, pp. com of once becamen	Figures Appear	
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		FORE	IGN PATENT DOCL	IMENTS		
Examiner Cite Initials* No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	Ī	
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	1
		EP 0 259 888 A2	03-16-1988	NEC Corporation		
		EP 0 607 700 A	07-27-1994	Semicond. Laser	•	
		EP 0 710 861 A1	05-08-1996	Sumitomo Elect.		L
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Examiner	Date	
Signature	Considered	

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